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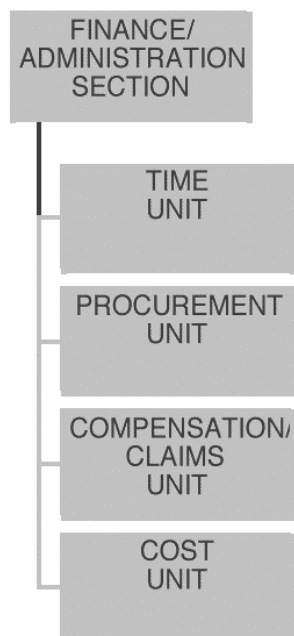
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6000 Finance/Administration

This section will only provide information specific to the COTP Wilmington zone. Refer to the [9750 Field Operations Guide](#) for specific information on all duties and positions and [9700 Table of Contents](#) for ICS forms. A Finance and Resource Management Field Guide (FFARM) for Federal On-Scene Coordinators is available to assist in the management of cost documentation of oil spills at <http://www.uscg.mil/hq/npfc/FFARMGuide.doc>.

6100 Finance/Administrative Section Organization

The Finance/Administration Section is responsible for all incident costs and financial considerations. IC includes the Time Unit, Procurement Unit, Compensation/Claims Unit and Cost Unit. The IC will determine the need for a Finance/Administration Section, and designate an individual to perform that role. If no Finance Section is established, the IC will perform all finance functions. The Finance/Administration Section is set up for any incident that may require on-site financial management. The IC may establish one or more units of the Finance/Administration Section in order to procure special equipment, contract with a vendor, or for making cost estimates of alternative strategies. Refer to [9750 Field Operations Guide](#) for the FOG and [9700 Response Resources](#) for necessary task information, and to <http://www.uscg.mil/hq/npfc/ffarm.htm> for procedures and guidance on cost documentation under the OSLTF.



6110 Finance/Administration Section Chief

Responsible for all financial and cost analysis aspects of the incident and for supervising members of this Section. Refer to [9200 Personnel and Services Directory](#), the [Field Operations Guide](#) and [9700 Response Resources](#) for necessary information.

An FOSC Financial Management Checklist (contained in the FFARM) is included at the end of this section.

6200 Documentation and Cost Recovery Procedures

6210 Fund Access

6210.1 FOSC Access

For information concerning documentation and cost recovery procedures, reference the NPFC User Reference Guide. Information can also be obtained at:

<http://www.uscg.mil/hq/npfc/pubinfo.htm>

Refer to the Oil Spill Funds Management Checklist at the end of this section for specific procedures. The same information is contained in the FFARM guide located at <http://www.uscg.mil/hq/npfc/ffarm.htm>.

6210.2 State Access

Under 33 CFR 133.9, the State of North Carolina must request access to the Oil Spill Liability Trust Fund through the Federal On-Scene Coordinator pre-designated for the area of the incident. Guidance for State access to the OSLTF is contained in the Technical Operating Procedures found at the NPFC web page

<http://www.uscg.mil/hq/npfc/state.pdf>.

6210.3 Trustee Access

Access to the OSLTF by Trustees is generally limited to initiation of Natural Resource Damage Assessments (NRDA). Procedures for requesting access to the Fund for NRDA Initiation are located at http://www.uscg.mil/hq/npfc/Initiate_NRDA.doc.

6300 Cost Unit

Responsible for collecting all cost data, performing cost effectiveness analyses, and providing cost estimates and cost saving recommendations for the incident. Refer [9200 Personnel and Services Directory](#), [Field Operations Guide](#) and [9700 Response Resources](#) for necessary information.

An automated MS Excel-based cost documentation series is available from the National Pollution Funds Center (NPFC), and is available on the Internet at <http://www.uscg.mil/hq/npfc/fosc.htm>. Additionally, the site contains an electronic Pollution Removal Funding Authorization (PRFA) form at <http://www.uscg.mil/hq/npfc/prfa.htm>.

6400 Time Unit

Responsible for personnel and equipment time recording. Electronic Pollution Daily Incident Resource Reports (CG 5136A) forms can be found in the forms Appendix of the paper version of this Plan, or at <http://www.uscg.mil/hq/npfc/CG5136A.dot>

6500 Compensation/Claims Unit

Responsible for the overall management and direction of all compensation for Injury Specialists and Claims Specialist assigned to the incident. For spills where the responsible party is known, procedures for receiving and processing claims should be established by the responsible party. For claims to the Oil Spill Liability Trust Fund, claims guidance and forms are available at <http://www.uscg.mil/hq/npfc/claims.htm>, the Internet web page for the National Pollution Funds Center.

6600 Procurement Unit

Responsible for administering all financial matters pertaining to vendor contracts. Refer [9200 Personnel and Services Directory](#), [Field Operations Guide](#) and [9700 Response Resources](#) for necessary information.

6700 Reserved

6800 Reserved

6900 Reserved for Area/District

OIL SPILL FOSC FINANCIAL MANAGEMENT CHECKLIST

*(For Coast Guard FOSC financial management ONLY;
operational steps are NOT included)*

When The Spill Occurs

☐ Does OSLTF apply? ____yes____no

If you answer yes to both of these questions, OSLTF funding applies.

1. Was there a discharge of oil, or a substantial threat of a discharge of oil (i) into navigable waters; (ii) on the adjoining shorelines; (iii) into the waters of the exclusive economic zone; or (iv) it may affect natural resources under exclusive management authority of the United States?
2. Are further actions necessary to ensure effective and immediate removal, mitigation or prevention of the substantial threat?

☐ Collect incident information. (page 27)

Name of incident: _____
Location (body of water, city, state): _____ _____
Latitude and longitude: _____ _____
Type of oil: _____ <div style="margin-left: 100px;"> <input type="checkbox"/> Visual Observation <input type="checkbox"/> Field testing <input type="checkbox"/> Lab analysis </div>
<div style="display: flex; justify-content: space-between;"> _____ Report by _____ Other _____ </div>
knowledgeable party
Quantity of oil: _____
Description of substantial threat: _____ _____ _____
Potential quantity of total oil discharge: _____
Date of incident: _____
Date of discovery: _____

☐ Collect source and responsible party (RP) information.

OSLTF Checklist

Vessel or facility name:	_____
How was source identified?	____ Visual Observation
	____ Reported
	____ Other _____

Who identified source?	name _____
	address _____
Responsible party (owner):	_____
	SSN/TIN* _____
	contact _____
Responsible party (operator):	name _____
	address _____

	SSN/TIN* _____
Responsible party (other):	contact _____
	name _____
	address _____
	SSN/TIN* _____
How was RP identified?	____ FOSC investigation
	____ Report by RP
	____ Report by third party _____
Who identified RP?	_____

*Social Security Number/Tax Identification Number (SSN/TIN). The Data Collection Act requires USCG to obtain the SSN or TIN of the RP in order to pursue cost recovery.

OSLTF Checklist

☐

Estimate the OSLTF funding ceiling required. (page 27 & 28)

Estimated contractor costs: _____
Estimated FOSC personnel costs: _____
Estimated FOSC equipment costs: _____
Estimated TDY/travel costs: _____
Estimated miscellaneous costs: _____
Estimated OGA costs: _____
Estimated Reservist costs: _____
Total ceiling required: _____

☐

Contact your District for FPN and authorized ceilings. (page 17 & 28)

Federal Project Number: _____
Authorized ceiling: _____
Funding citation(s): _____
 <i>Your DISTRICT will confirm by FAX or message and give verbal authorization.</i>

NOTE: If you are unable to reach the District, as the FOSC, you are authorized to obligate up to \$25,000 for response actions.

OSLTF Checklist

☐

For NPFC assistance, contact your NPFC regional case manager. (page 17)

Gulf Coast and Midwest:	Team I	(202) 493-6723
Southeast (Philadelphia and South):	Team II	(202) 493-6726
West Coast, AK, HI:	Team III	(202) 493-6729
Northeast and Great Lakes:	Team IV	(202) 493-6732

On weekends, holidays, or after hours, you will hear recorded instructions for paging.

Assigned case officer: _____

If your regional manager is not available, page the duty case officer by calling (800) 759-7243, PIN 2073906, **OR** call the duty case officer through the CGHQ Command Center (202) 267-2100 or (800) 424-8802.

☐

Locate the proper forms for ceiling management and for documenting all costs. (pages 42, 43 & 44)

In the *NPFC User Reference Guide*, turn to Chapter 3, Subtab Resource Documentation.

Ceiling Management Forms:

_____ For a Level I spill (estimated ceiling under \$50,000), use **CG-5136 Series, Pollution Incident Daily Resource Report – Ceiling Management & Incident Obligation Log – Short Form**

_____ For a Level II spill (estimated ceiling \$50,000-\$200,000) or Level III spill (over \$200,000), use **CG-5136F, Environmental Response Ceiling Management Form** to estimate and manage the ceiling. Record each activity as it occurs on **Daily Record Worksheets**

Daily Cost Documentation Forms (all levels):

_____ Use the appropriate **Pollution Incident Daily Resource Reports**, (CG-5136 series) to consolidate daily totals.

_____ Electronic version of CG-5136 series available on disk in Excel format from the NPFC.

OSLTF Checklist

☐

Follow guidance in the *NPFC User Reference Guide* for use of funds and to arrange response actions. Contract through appropriate MLC (fcp) and use Pollution Removal Funding Authorizations (PRFA's) for other government agencies.

During Cleanup - Every Day

☐

Monitor contractors. (page 44)

- _____ Collect contractor **daily delivery tickets** and/or **Pollution Incident Daily Resource Reports**.
- _____ Date stamp all invoices upon receipt.
- _____ Within seven days of receipt of invoices, certify that work was performed as ordered. (As FOSC, you should not certify work that was not ordered.)
- _____ All invoices must be forwarded to arrive at MLC within 10 days of receipt.

☐

Monitor Coast Guard units. (page 43)

- _____ Consolidate all daily reports for your unit onto the **Pollution Incident Daily Resource Reports**. This should cover all unit resources involved in removal activity.
- _____ Collect **Pollution Incident Daily Resource Reports** or official records (i.e., **aircraft utilization records** and **cutter navigation logs**) from other Coast Guard units.

☐

Monitor other government agencies. (page 44)

- _____ Issue **Pollution Removal Funding Authorizations** (PRFAs) to other federal and state agencies participating in the FOSC-directed response. (See *NPFC User Reference Guide*, Chapter 3, Resource Documentation.)
- _____ Collect OGA (Other Government Agencies) **SF-1080** or **SF-1081** vouchers and supporting documentation in accordance with the PRFA. (See *NPFC User Reference Guide*, Chapter 3, Resource Documentation)
- _____ Review **SF-1080/1081** vouchers from OGAs and certify that work was performed as ordered.

☐

Add up obligations and track them against the ceiling. (page 42)

- Use the **Ceiling Management** forms in the *NPFC User Reference Guide*, Chapter 3, Subtab Resource Documentation:
- _____ Include Type I Obligations: contracts, removal authorizations, travel orders, direct expenses.
 - _____ Include Type II Obligations: **anticipated costs (estimates)** of Coast Guard resources (personnel, vehicles, aircraft, boats, cutters, and Strike Team pollution equipment) based on Coast Guard Standard Rates (See *NPFC Reference Guide*, Section 3, Resource Documentation.)
 - _____ Make sure that each POLREP includes the total ceiling authorized and cumulative obligations to date. (NPFC

OSLTF Checklist

should be an INFO ADDEE for all POLREPs.)

☐

If the ceiling must be increased, contact the District in advance. (page 40)

For example, if you have reached \$40K against a \$50K ceiling, and you expect the total costs to exceed \$50K, contact your District.

☐

Contact your NPFC case officer or the MLC contracting officer, as appropriate, any time you need assistance. (Appendix A)

After The Response Action Is Completed

☐

Certify contractor invoices within ten working days of receipt of invoices. (page 46)

OSLTF Checklist

Insure that all certification for receipt of services is in accordance with standard MLC and Finance Center procedures. (Contact appropriate MLC contracting officer if questions arise, or if invoice cannot be certified. The FOSC is certifying receipt of invoiced goods and services in quantities indicated. Costs are verified by the cognizant contracting officer.)

- ☐ **Forward certified contractor invoices to MLCLANT (fcp) or MLCPAC (fcp), as appropriate. (page 46)**
- ☐ **Keep copies of all certified contractor invoices for the unit's files.**
- ☐ **Compile an inventory of all equipment purchases.**
- ☐ **Within 120 days of completion of cleanup, send the Financial Summary report to NPFC. (page 45)**

See the *NPFC User Reference Guide*, Chapter 3, Subtab "Resource Documentation", for a description of the Financial Summary report, which includes:

- _____ Incident Report; FOSC Pollution Incident Daily Resource Reports; Contractor Invoices and Daily Resource Reports; Other Government Agencies Resource Documentation (SF-1080/1081 with invoices, Daily Resource Reports, Pollution Removal Funding Authorization); Out-of-Pocket expense; Inventory of Equipment Purchased.
- _____ If you are using Excel forms, DO NOT throw away the original handwritten invoices, dailies, and notes. In court, the Excel sheets may not be considered "original" documentation.